

**SITE REMEDIATION PROFESSIONAL LICENSING BOARD OF NEW JERSEY
AUDIT PROCESS AS REQUIRED BY THE SITE REMEDIATION REFORM ACT**

N.J.S.A. 58:10C-24

Prepared by the LSRP Board Audit Subcommittee

March 17, 2011

These are the proposed procedures for completion of an audit of a Licensed Site Remediation Professional (LSRP), as required by law and to be performed by the Site Remediation Professional Licensing Board (Board). These audit procedures and requirements are separate and distinct from the inspection and review of documents performed by NJDEP. It is the intention to finalize these procedures and approve by resolution of the Board so audits can proceed and then modify the requirements to be included in the Board Rules.

1. The Site Remediation Reform Act (SRRA) requires the Board to audit at least 10% of the LSRPs per year, so the Board will establish the number to be audited per calendar year at the first meeting of each calendar year. The number of LSRPs to be audited will be calculated by 10% of the approved LSRPs on January 1st of each year, plus 3 to anticipate additional LSRPs receiving approval in the calendar year. For example, if there are 420 LSRPs approved, then 45 LSRPs will be audited for the calendar year. An estimated 1/12 of the LSRPs will be audited per month.
2. After the number of LSRPs to be audited has been established by the Board, the Board will randomly select the monthly amount to be audited in Executive Session. Prior to selecting the LSRPs to be audited, audit teams made up of two (2) Board members, one of which will be a non-LSRP, will be established so potential conflicts in accordance with the Board Bylaws can be assessed immediately upon selection of the LSRP to be audited. Each member of the Board will serve on an audit team, with the exception of the Chairperson, and the team members will rotate as determined by the Board. The random selection will be by LSRP number and the process will be predetermined based upon the database provided by NJDEP to the Board. The LSRP number and name will not be made public at the time of selection.
3. A letter will be sent via certified mail by the Board Secretary, under the signature of the Chairperson or Vice Chairperson, detailing the statutory basis for the audit in accordance with SRRA and requesting the completion of the LSRP Board Audit Questionnaire (*to be prepared*) and return within 21 days of receipt.
4. After the questionnaire is returned to the Board Office by the LSRP, the assigned audit team will review the questionnaire, outside of a Board meeting, and as necessary may consult with NJDEP at any time during the process. Upon completion of the initial stage of the audit and review of the questionnaire, the audit team will render one of the following conclusions:
 - a. Audit team determines no further investigation is required, audit is complete;
 - b. Audit team has questions or concerns and contacts LSRP directly in writing (email or certified letter). After review of the LSRPs response to the questions or concerns, the audit team is satisfied that no further investigation is required and the audit is complete; or

- c. Audit team believes further investigation is required and requests review of files and documents submitted to NJDEP by the LSRP. Following the review of the NJDEP files, the audit team will conclude that the findings require no further action or refer the LSRP to the Board for disciplinary review.

****Note –** The Board Audit Teams will utilize Data Miner and Board staff to verify the statements made within the LSRPs response.

5. Audit team findings will be reported to the full Board at a Board meeting following the completion of an audit that concludes “satisfactory” findings and then posted on the Board website. The notice on the web site will simply list the number and name of the LSRP, and date of the “satisfactory audit finding.” Any “unsatisfactory” findings that warrant disciplinary review by the Board will be reported in Executive Session, consistent with the disciplinary process proceedings, and no posting will be made to the Board website. After a referral is made for disciplinary review, the Board will handle the matter in accordance with Board Rules or interim resolution proceedings.
6. The goal of the Board will be to complete each audit within 60 days of receipt of a completed questionnaire.
7. After an LSRP has been audited and receives a “satisfactory finding” he or she will be removed from the list of LSRPs to be audited for three (3) calendar years; however the random selection will still be considered on 10% of the total number of LSRP’s as of January 1st of each calendar year.